State CIO
Agency IT Plan
2009 – 2011 Biennium

Department of Insurance IT Plan

September 2008

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Executive Summary

The North Carolina Department of Insurance constantly seeks ways to improve the services it provides the people of North Carolina through all means possible. This includes utilizing all modern day electronic means to provide timely assistance via interactive websites, informative phone messaging and printed materials.

Through implementation of its Strategic IT Plan over the years, the Department of Insurance has methodically made improvements to its overall IT infrastructure. In the past two years all servers have been upgraded to a blade and Storage Area Network (SAN) environment. The network security system has been greatly enhanced to thwart unwanted access. Much of the older network cabling has been replaced by fiber network. All of this has been accomplished by a small in-house staff.

The plan to retire or replace legacy systems as they reach full maturity is also progressing well. During the same period, the Fire & Rescue Safety Database Management System was replaced by a new system completely developed in house over a period of 15 months. This system replaces a system that had been in service 18 years with few upgrades. Early 2007, the department made the decision to join with other States in the National Association of Insurance Commissioners (NAIC) in utilizing the State Based Systems (SBS). This is an insurance regulatory software system offered at no charge to participating states. Participation in the system is critical to state insurance regulators' efforts to promote uniformity and remain a viable regulatory model in today's business climate. Currently the Department of Insurance is using SBS to manage Insurance Companies, Financial, Agents, Agencies, and Bail Bondsmen information. In the future, the department will be migrating the management of Consumer Services and Complaints, Investigatory cases and insurance filings to the State Based Systems.

Within the next five years the Department of Insurance plans to implement changes in these areas:
- Health Care Review to automate the secure review/exchange of medical information between Health Care Review and the IRO.
- Seniors' Health Insurance Information Program (SHIIP) Database needs a more robust system to meet the expanding requirements. The current system is vendor maintained and is rapidly becoming obsolete.
- SERFF Managed Form Filing System with Public and Private Review as required.
- Consolidate the multiple Engineering Database Management Systems into one shared enterprise system
- Expand an alternate work site to fulfill the requirements called for in the Business Continuity Plan to cover off-site work site management during a disaster recover.

This summary presents the direction the North Carolina Department of Insurance plans to move in the next five years to stay abreast of the ever changing requirements while maintaining and providing the quality of service the constituents of North Carolina expect and are entitled.

Major Factors Influencing the Plan

The Department of Insurance provides valuable services to the people of North Carolina by regulating the insurance industry, licensing insurance professionals and others, educating consumers about different types of insurance, handling consumer complaints, and much, much more. The Department also houses the Office of State Fire Marshal, which is responsible for a host of other services that improve North Carolinians' daily lives.

The Department has two regional offices in Asheville and New Bern, and three office sites in the Raleigh area with the main site located in the Dobbs Building. Many of our employees have remote computer connectivity needs. Building inspectors and other personnel use their homes as duty stations. We have a teleworkers program. Also, many of our employee audit teams spend much time on site at insurance companies.

The Department regulates insurance companies and agents. Any insurance business in this state first must be approved by the Commissioner, and companies and agents must meet rigorous standards before they receive a license to do that business. Other services provided by the Department include:

- licensing bail bondsmen

- overseeing motor clubs and collection agencies

- protecting consumers from fraud and illegal behavior with a staff of sworn law enforcement officers in our Investigations Division

- educating North Carolinians about safety issues such as child safety seats, fire protection, natural disaster preparation and other family safety issues

- interpreting the state's building codes and suggesting new and improved codes to further protect citizens

- obtaining and maintaining insurance coverage for all state-owned buildings, including such items as the campuses of the state university system

- assisting the elderly and others with Medicare and Medicaid questions through our nationally recognized Seniors' Health Insurance Information Program

The insurance industry is the only one of the three major financial services industries not regulated by the Federal government, thus, most of the regulatory

duties fall to the states. This includes licensing insurance companies located in NC, testing and licensing insurance agents, keeping close watch on the finances of companies and agencies, and operating a staff of consumer advocates to help ordinary people solve their insurance problems. It is the responsibility of the Department of Insurance to review the wording of insurance policies for compliance with applicable laws and regulations, and review rates and rate change requests for compliance with applicable standards.

Because of state-based regulation, a need exists to be cooperative with counterparts in other jurisdictions and states. This is facilitated by the active membership in the National Association of Insurance Commissioners (NAIC). The Department of Insurance currently exchanges information and processing of insurance related functions with world-wide companies via the interface with the NAIC. The North Carolina Department of Insurance continues to align with other states in the management of insurance filing information, to meet the challenge of speed to market and take advantage of modern day technology.

Applications Portfolio Management
The following applications make up the portfolio for the Department of Insurance. The department actively manages the portfolio. During the past period two legacy systems were replaced and all are constantly under review.

Aithent FPI
Aithent FPI is a Commercial OFF the Shelf (COTS) case management system used by the DOI Investigations unit. FPI tracks information from origination through to the eventual prosecution or restitution and is being used to combat money laundering, financial, insurance, and corporate fraud, and to support Sarbanes-Oxley compliance.
Aithent FPI is maintained and hosted by ITS.   Aithent is currently being considered for replacement (see Major Initiatives and Investments).

Exam Database
The Exam Database is an in-house developed Access database utilizing Visual Basic for the applications layer. It is used infrequently by examiners for historical review purposes only. There are no plans to expand or enhance this application. The only expenditures for this application are the indirect costs of backing up and maintaining on the current file server system.
Since this system and it's data are only for historical research of the existing data, it will be maintained for an indefinite period of time.

Fire and Rescue Safety Tracking System (FRSTS)

FRSTS was completed during the last period to replace a legacy system. The primary purpose is to track inspections, distribute monies and certify personnel. The new system provides for public interaction via the internet; Community college integration with the continuing education for firemen; fund management of the Relief Fund, Rescue Fire Fund and Volunteer Funds. FRSTS was developed and maintained by the DOI Information Systems Division, Applications Development Team.

Home Inspectors Board Certification Database

The Home Inspectors Board Certification Database System is an Access database with a Visual Basic application layer. It is maintained under contract as needed by an independent consultant. The system is used to manage the certification of home inspectors within the State of North Carolina. This system is under consideration for consolidation into an enterprise system.

Inspectors Certification Database

The Inspectors Certification Database System is an Access database with a Visual Basic application layer. It is maintained under contract as needed by an independent consultant. The system is used to manage the certification of Code Enforcement Officials within the State of North Carolina. This system is under consideration for consolidation into an enterprise system.

License Information

The License Information system is an Access database with a Visual Basic applications layer used to compile and report data reported in annual filings This application will be maintained active for review and repository referral; however, no funds will be budgeted or expended to change/update it. Only costs attributed are for resources for backups.

Medicare Supplement Premium Comparison Database

The Medicare Supplement Premium Comparison Database System provides lists of Medicare supplement companies in North Carolina; their addresses; policy benefits and premiums. The application database was developed by a contracted vendor in 2001. The Application layer is browser based and developed with Visual Basic. The database is MS SQL Server. The current system is serving the users well and no foreseen upgrades or enhancements are needed at this time or expected to be needed for several years. Annual costs include the renewal of associated system and database license and the indirect costs for backups.

Manufactured Housing Information System

Manufactured Housing Information System (MHIS) is used to manage the Manufactured Housing Program. i.e. issue licenses, consumer complaints, manufacturing defects, continuing education hours, etc. this system was built in house by a contracted vendor in 2001. It is an Access database with a Visual Basic application layer. Numerous changes in regulation of the manufactured housing industry has required the constant need to update this system and continue to use contracted support. The Manufactured Housing Division is

rapidly out growing the Access system and need a more robust system to carry them into the future. This application is currently scheduled to be replaced in FY 2009 (see Project Portfolio Management).

<u>Operations Tracking and Information System</u>
The Operations Tracking and Information System (OTIS) is the enterprise system of the Department of Insurance. OTIS tracks and provides work flow management for insurance related systems for Insurance Company regulation; insurance filings; Health Care Review; Consumer Complaints Tracking and Reporting; Interfaces with the National Association of Insurance Commissioners (NAIC) System for Electronic Rate and Form Filing (SERFF); a trouble reporting and tracking system for OTIS related problems, requests assistance or enhancements. OTIS is a java/java server pages series of modules that operate upon a single Oracle database system. OTIS provides a view only repository for filing information through a standard internet interface for insurance filing, agent services and consumer information queries, OTIS also has a secure access internet interfaced to allow insurance companies access to imaged documents supporting a consumer complaint. OTIS is tightly integrated with the department Outlook email system to notify users of incoming and out going system generated email traffic. OTIS has numerous automated interfaces that run off times processes from every 5 minutes to once a month to the various external agencies noted above. OTIS was downsized during the current period as some processes moved to consolidated State Based Systems SBS).

<u>Plan Tracker (Private Plan Review)</u>
The Plan Tracker (Private Plan Review) System is a SQL Server database with a MS Fox Pro application layer. It is maintained under contract as needed by an independent consultant. The system is used to manage the plans under reviewer for City/County-Owned buildings in excess of 20,000 SF per GS 58-31-40 and Privately-Owned buildings as established by NC Building Code Council rules. This system is under consideration for consolidation into an enterprise system.

<u>Plan Tracker (State Plan Review)</u>
The Plan Tracker (State Plan Review) System is an Access database with a Visual Basic application layer. It is maintained under contract as needed by an independent consultant. The system is used to manage the plan review of all state owned buildings; construction; modifications. This system is under consideration for consolidation into an enterprise system.

Preferred Provider Organization (PPO) Reviews
The Preferred Provider Organization (PPO) Reviews is an Access database with a Visual Basic applications layer utilized for a historical maintained file-tracking and compliance-review system, for (Health Maintenance Organizations (HMO)/PPO operational filings. This application will be maintained active for review and repository referral; however, no funds will be budgeted or expended to change/update it. Only costs attributed are for resources for backups for recovery. The ongoing information originally maintained by this system has been moved to OTIS and absorbed by other areas within the Department of Insurance that utilize OTIS.

Provider Complaints
The Provider Complaints system is currently only a repository for historical data. Build in 1999, with Visual Basic on an Access database, the applications was utilized by the Managed Care Division. The functions of Provider Complaints applications have been moved to the OTIS enterprise system. The Historical data was not ported. This application will be maintained active for review and repository referral; however, no funds will be budgeted or expended to change/update it. Only costs attributed are for resources for backups for recovery.

Risk Insurance Management Enterprise System
The Risk System is an SQL Server Database with a MS Fox Pro application layer. It is maintained under contract as needed by an independent consultant. The system is used to track state property, insurance and content information for use in providing property insurance via state insurance fund; tracks billing for state agencies. This system is under consideration for consolidation into an enterprise system.

Seniors Health Insurance Information Program (SHIIP) Database
The Seniors Health Insurance Information Program (SHIIP) Database is utilized to manage names of SHIIP volunteers, addresses, and telephone numbers. It also includes data on counseling, outreach, toll free calls and demographic information. The application was originally developed in 2002 with Visual Basic on an Access Database. The requirements for the application are growing rapidly and it has been identified as one that will need to be upgraded to a more robust system or moved to the enterprise system in the near future.

TeamMate
TeamMate is a COTS system utilized by Market Conduct and Examinations divisions to track various states of Insurance companies. The last upgrade purchased was in 2002. It is a proprietary database management system that has a recurring annual licensing cost. Business requirements are ever increasing and it has been determined that this system should be replaces or integrated with a more robust system in the near future

Project Portfolio Management

<u>Enhanced Manufactured Building Tracking and Information System (EMBTIS)</u>
EMBTIS is a new system that is under development to replace the current Manufactured Housing Information System. In 2006, the Senior Staff of the Department of Insurance (DOI) requested the Information Systems Division, Applications Development team to provide strategic recommendations for various divisions whose back-office support systems were becoming obsolete; hard to maintain; and lacked expandability. These recommendations were rolled into the Department Five Year Strategic Plan. The current systems of the Manufactured Building Division ranked very high in that they were made up of several MS Access database systems that required management by an independent vendor. Further, the applications had grown obsolete in that they were not able to fully integrate with internet access. Senior Management of the Department of Insurance prioritized the conversion to commence in the fall of 2007. EMBTIS is to replace the current Manufactured Housing Information System in the spring of 2009.

<u>Business Objectives</u>
The main goal of the effort is to migrate the current functionality of the Manufactured Building Tracking System to a web based enterprise applications and database system maintained and fully supported by the DOI Applications Development Group. This new system will be an Enhanced Manufactured Building Tracking and Information System with documentation imaging archival and retrieval capability; integrated email support; interactive internet integration. To do this the automated system will:

- Manage workflow of the files management to include, licensing, complaint investigation, inspections, and continuing education
- Develop standardized user friendly formats in which to enter, view, analyze and process data/information
- Provide a means for integrating imaged document archival and retrieval
- Design a flexible, scalable, portable system
- Comply with NC state-approved technical architecture
- Conform to state mandated security requirements
- Conform to state mandated business recovery requirements

<u>Resources</u>
Staffing for the development of EMBTIS is provided by internal IT staff of DOI. Staffing ranges in size from one Full Time Equivalent Employee (FTE) to eight FTEs. The system is developed utilizing Agile Development techniques to keep the stake holders fully involved, thus reducing risk and development time. Development and system resources will be maintained by DOI/ISD system staff and system engineers.

Operations/IT Management

One of the Department's main goals over the past several years has been to develop an information systems infrastructure of software and hardware that simplifies and integrates the many individual systems in use in DOI. This Operations Tracking and Information System (OTIS) is our department enterprise system currently providing work flow management for insurance related systems for Insurance Company regulation; Property & Casualty and Life & Health insurance filings; Health Care Review; Consumer Complaints Tracking and Reporting; Interfaces with the National Association of Insurance Commissioners (NAIC) System for Electronic Rate and Form Filing (SERFF). OTIS is a java/java server pages series of modules that operate upon a single Oracle database system. OTIS provides a view only repository for filing information through a standard internet interface for insurance filings and consumer information queries, OTIS also has a secure access internet interfaced to allow insurance companies access to imaged documents supporting a consumer complaint. OTIS is tightly integrated with the department Outlook email system to notify users of incoming and out going system generated email traffic. OTIS has numerous automated interfaces that run off timed processes from every 5 minutes to once a month to the various external agencies noted above.

As the department moves into the next five year period, we look to align more with the National Association of Insurance Commissioners (NAIC) and continue to move forward and be a leader in streamlining the regulation of the insurance industry through the combined efforts of the numerous states enjoined in the State Based Systems (SBS) for data sharing, speed to market filings/approvals, better overall insurance regulation resulting in savings for consumers through the use of integrated IT services. SBS also provides advantages for a national insurance industry that is competing with banks and the international insurance markets. This competition is leading the industry to demand greater efficiencies and uniform requirements; already, some segments of industry are seeking federal regulation to replace a 50-state regulatory system. Without the benefits of a system such as SBS, the state regulatory community will have a more difficult time remaining viable. Within the five year period, all insurance filings, investigative case filings and consumer complaint filing data will be moved to the State Based System.

Infrastructure Assets

DOI is nearing the completion of refreshing and consolidating all network servers. We currently have 3 locations in the Raleigh area: Dobbs Building (main location), Boylan Avenue and Chapanoke Road.

When we first started our own enterprise development, we were using Linux servers. At the time, our database administrator had Linux experience. When that person left DOI, it was difficult to obtain someone with the Linux experience we needed. As a result a decision was made to convert all existing Linux servers to the Windows Server operating system. The remaining 4 servers are scheduled to be converted by early 2009.

Based on our current infrastructure assets and projected application development, we project the need for a 12 unit blade server and an additional SAN in year 2 (2010). The estimated costs for this hardware would be approximately $63,000 for the blade server and $9,000 for the SAN.

DOI is participating in the cost savings offered through the ITS IT Bulk Purchasing initiative in purchasing all desktop computers, laptops and printers.

Human Resources

Network Staff: Over the years this division has grown, duties have changed, positions have become more specialized and we have formed into 3 separate sections common to most IT departments: Applications Development, Technical Support and Network Administration. The three network staff has been supervised by the CIO. In September 2008 a decision was made to promote one of the network administrators to manager to allow the CIO more time for administrative matters.

Training: Training funds were obtained in 2007 to allow our staff to obtain much needed training. Although we have not upgraded to Windows Vista, we know that it will only be a matter of time. Our software assurance contract with Microsoft allows us to upgrade to Office 2007, Server 2007 and Exchange 2007. Our staff will be attending training in all these areas before upgrading to these new systems/versions

Software Development Process

The Departments Information Systems Division develops flexible systems utilizing concepts to ensure integration, connectivity and compatibility. Development always addresses the needs of internal and external customers. Standards exist, are followed and emphasized at every phase of development. All software development is done under the directions of a certified project manager following the guidelines the set forth in the department Project Management Standards. A cost benefit analysis is considered prior to any software project initiation in deciding a project.

The vision of all future applications development is to be developed and managed in an Agile Environment. This allows for optimum interaction between the development team, the product owners and all stake holders. ISD Development will continue use the J2EE platform for all new development but to also continue to seek new technology opportunities to support changing business needs.

Major Initiatives and Investments

Public Services Group

Agent Services Division

Name/Title	Transfer of all Agent Services Data Management Services off of Organization Tracking and Information Systems (OTIS)
Summary Description	The division is currently undergoing conversion from OTIS to the new State Based System (SBS). This system is provided free to all states and is a cornerstone of uniformity initiatives underway by all states. Conversion began in December 2007 and is expected to be completed by March 2009. ASD staff is currently using OTIS for read only access to validate data migration issues from OTIS to SBS, and to determine historical CE records for agents and adjuster.
Major Objectives	To complete the move of all management systems for
Approach for Accomplishment	Notwithstanding programming issues, the one remaining item to be tested involves the transfer of Continuing Education (CE) matters to a vendor and potential verification of records, etc., due to this new CE function. At this time, assistance from internal IT is not contemplated for this final conversion piece. Since IT matters can be complicated and specialized, a good estimate for this possibility would be estimated at two weeks and would more than likely require the services of a DOI analyst. It is anticipated that services needed would be as a contact for explanation of certain programming items associated with CE.
Time Frame	Nov 2008 – Feb 2009
Relationship with other agency initiatives	The Financial Division of the Company Services Group also migrated to the State Based System in December 2007 also
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$1270.00 Estimated time approximately one week maximum over the time frame for ISD assistance
Source/Type/Use of Funding	State/One time/Internal Staff

Investigation Division

Name/Title	Investigations Data Management Systems Replacement
Summary Description	The division is currently using the Aithent FPI program for its database. Major concerns exist as the database has been deemed deficient for INV's needs. In addition, database management by Aithent and system software updates were deemed cost prohibitive for INV. The FPI system has been deemed as one that is in dire need of replacement. The current system is currently maintained by the Office of Information Technologies (ITS).
Major Objectives	To complete the move of all Investigative Management Systems to a component of State Based Systems (SBS). The division began exploration of this system approximately one year ago and is currently slated as one of the pilot states for implementation of a new fraud system. This system is provided free of charge to all states and is a cornerstone of uniformity among the states.
Approach for Accomplishment	INV will require assistance from the Office of Information Technologies (ITS) on this project. It is expected that 480 total hours will be needed with assistance from a programmer and possibly a database manager. ITS staff will be engaged in conference calls, meetings with SBS, INV, and DOI IT staff.
Time Frame	Oct 2008 – Aug 2009
Relationship with other agency initiatives	The only relationship to other initiatives is that the Financial Division of the Company Services Group and the Agent Services Division of the Public Services Group migrated to the State Based System in December 2007 also
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$15,360 estimated costs for programmer and database manager assistance during the transition to the State Based System.
Source/Type/Use of Funding	State/One time/Internal External and Internal Staff

Consumer Services Division

Name/Title	Migration of Consumer Services Data from Organization Tracking System (OTIS) to State Based Systems (SBS)
Summary Description	The division is currently using OTIS, but is also considering a component of the SBS system. The division began exploration of this system approximately 6 – 9 months ago. CSD is not currently satisfied with the complaint component, as the OTIS system offers the electronic forwarding of complaints while the SBS system does not.
Major Objectives	To complete the move of all Consumer Services Management Systems to a component of State Based Systems (SBS). SBS will need to enhance the current Complaints processing module to provide electronic exchange between SBS and the responding entities. This system is provided free of charge to all states and is a cornerstone of uniformity among the states.
Approach for Accomplishment	CSD will require assistance from internal DOI IT staff. It is expected that this project will take some 6 – 9 months and will require services similar to those provided by DOI IT for the 2007 ASD database conversion. DOI IT staff will be engaged in conference calls and meetings, with SBS and CSD. DOI IT staff will assist with the formatting and porting of the Consumer data from OTIS to SBS to include indexed imaged data.
Time Frame	Jul 2010- Mar 2011
Relationship with other agency initiatives	The Consumer Services system is integrated with the Company and Agent information of the SBS system and utilized the data in a shared environment. The Financial Division of the Company Services Group and the Agent Services Division of the Public Services Group migrated to the State Based System in December 2007 also
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$16,000 estimated costs for assistance during the transition to the State Based System.
Source/Type/Use of Funding	State/One time/Internal Internal Staff

Office of State Fire Marshall

Engineering Division

Name/Title	Migrate Database Support from External Vendor to Internal Staff
Summary Description	Have DOI staff mirror and maintain internal databases. Once internal databases are completed, end outside contracts with software vendors
Major Objectives	To prevent "downtime" due to outside vendors not being available and to update software to current database architecture
Approach for Accomplishment	Have internal DOI staff prioritize the DB and take them over one at a time. Success would be gauged on seamless integration. This initiative is comprised of four independent but like applications. The applications could be designed as an enterprise system utilizing one database management system. Once the framework is developed, each application functionality could be migrated to the enterprise respectively.
Time Frame	Jan 2011 – Dec 2011
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$480,000.00
Source/Type/Use of Funding	State/One time/Internal Staff/software/hardware

Engineering Division

Name/Title	Telephone System
	Replace the existing telephone system with a system that can accommodate more phones and services.
Major Objectives	In improve communications by procuring a system that allows transfers to outside phones, common callers can be directed via caller ID and incorporated computers/phones can bring up customer records based on caller ID automatically (interpretation consistency)
Approach for Accomplishment	Improve communications by procuring a system that allows transfers to outside phones, common callers can be directed via caller ID and incorporated computers/phones can bring up customer records based on caller ID automatically (interpretation consistency)
Time Frame	Aug 2009 – Sep 2009
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$10,000
Source/Type/Use of Funding	State/One time/hardware

Engineering

Name/Title	Security System
Summary Description	Install a security system that incorporates a system of card readers, cameras and a video recorder.
Major Objectives	Improve overall security for the employees in the department.
Approach for Accomplishment	Install the system over a 2-3 day period. Success would be gauged on general observation of activities.
Time Frame	Jul 2009
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$15,000
Source/Type/Use of Funding	State/One time/hardware

Engineering Division

Name/Title	Electronic File Storage
Summary Description	Acquire a system that converts the stored plans and files in an electronic format.
Major Objectives	Objective is to record what has been approved by the department and free office space currently used for plan storage.
Approach for Accomplishment	Over a series of months, scanning the projects onto a server. Success would be measure with the removal of all plans storage with continued access.
Time Frame	Nov 2012 – Apr 2013
Relationship with other agency initiatives	Could integrate to the product of the database migration project within the same division. Indexing would share the same Database Management System
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$100,000 cost of labor and file storage.
Source/Type/Use of Funding	State/One time/Internal Staff/hardware

Engineering Division

Name/Title	On-Line Registration
Summary Description	Create website for Conference Registration
Major Objectives	Conference registration could be executed by attendees.
Approach for Accomplishment	Once created the website would allow all information to be entered for a registration and then payment and verification could be immediately processed. This would require a secure website and would should be coordinated with State Office of Information Technology to receive online payment.
Time Frame	Jun 2013 – Dec 2013
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$200,000
Source/Type/Use of Funding	State/One time/Internal Staff/ ITS NCID payment management, on-going costs

Fire and Rescue Division

Name/Title	On-Line Testing
Summary Description	Create on-Line testing for certification of firefighters
Major Objectives	Establish testing electronically so that grades, and certification information can be efficiently processed
Approach for Accomplishment	Staff will utilize computer based testing and recording of grades so that information will be easily incorporated into the existing Fire and Rescue Safety Tracking System (FRSTS) of certification information. This will be an enhancement to the current system
Time Frame	May 2012 – Nov 2012
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$210,000
Source/Type/Use of Funding	State/One time/Internal staff

Fire and Rescue Division (Injury Prevention)

Name/Title	Fire Safe Cigarette Database System
Summary Description	A database to track certification of Fire Safe Cigarette forms from manufacturers. NCDOI-OSFM is required to implement the FSC program by January 1, 2010 which means that computer infrastructure will need to be in place in order to insure we can track certification forms.
Major Objectives	This issue will tie closely to National Fire Incident Reporting system because cigarettes are tracked as part of this issue. This will be an independent program that will fall within the Injury Prevention & Grants Section.
Approach for Accomplishment	DOI's ISD staff and the Fire and Rescue Commission Division's staff will coordinate
Time Frame	Mar 2009 – Dec 2009
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$220,000
Source/Type/Use of Funding	State/One time/Internal staff initially; Once running, the revenue generated from the certification fees of the Fire Safe Cigarette Program will pay for administrative costs of the program.

Manufactured Building Division

Name/Title	Electronic File Storage
Summary Description	Create a system to store Building plans and Manufacturer's manuals
Major Objectives	Storage space and cost reduced and information made more readily available
Approach for Accomplishment	DOI's ISD staff and the Man. Bldg. Division's staff will coordinate
Time Frame	Nov 2012 – Apr 2013
Relationship with other agency initiatives	This initiative is related to the ongoing Enhanced Manufactured Building Tracking and Information System (EMBTIS) Project currently underway. It can share the same database and integrate with the application with shared processes.
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$110,000
Source/Type/Use of Funding	State/One time/Internal staff/ hardware/software and licensing

Risk Management Division

Name/Title	Upgrade of the Risk Insurance Management Enterprise System
Summary Description	Currently the State Property Fire Insurance Database System is maintained by a contracted vendor. The database the applications run against is Microsoft SQL SERVER with a FoxPro GUI application layer. The standard database configuration for DOI is Oracle and the applications layer is browser-Java. DOI at this time does not provide support Microsoft SQL SERVER or FoxPro.
Major Objectives	While the system is providing adequate service at this time, it is deemed that in long term it should be converted to Oracle and Java. The move to Oracle would also save the required annual fees for Microsoft SQL SERVER licensing and support.
Approach for Accomplishment	DOI's ISD staff and the Risk Management. Division's staff will coordinate
Time Frame	Mar 2013 – Dec 2013
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$350,000
Source/Type/Use of Funding	State/One time/Internal staff

Company Services Group

Combined Divisions

Name/Title	Server Room and Network Infrastructure Upgrade
Summary Description	The Servers, backup powers supplies, switches routers and many network associated pieces of hardware are reaching the expected lifespan and should be planed for replacement
Major Objectives	To prevent "downtime"; to maintain the server and network support for the Glenwood Work Site
Approach for Accomplishment	Over the next five years replace the equipment out as it reaches its lifespan in a systematic process to prevent interruption of workflow to the user community
Time Frame	Jul 2009 – Dec 2013
Relationship with other agency initiatives	Business Continuity Plan Alternate Location Implementation
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$257,910.00
Source/Type/Use of Funding	State/One time/Internal Staff/software/ hardware

Combined Divisions

Name/Title	Business Continuity Plan Alternate Location Implementation
Summary Description	The Servers, backup powers supplies, switches routers and many network associated pieces of hardware that would be needed in the event of a disaster to provide server/network support at an alternate location
Major Objectives	To provide an alternate computer support environment for support during a disaster to meet the requirements of the Business Continuity Plan
Approach for Accomplishment	This initiative will be implemented over a five year period along with the Server Room and Network Infrastructure Upgrade Initiative
Time Frame	5 years 2009 - 2013
Relationship with other agency initiatives	Server Room and Network Infrastructure Upgrade
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$56,000.00
Source/Type/Use of Funding	State/One time/Internal Staff/software/hardware

Combined

Name/Title	Improved Phone System
Summary Description	The current phone system is rapidly becoming obsolete and prone to outages and is in need of replacement
Major Objectives	Replace the current phone system with a more modern system that offers functions that are standard today but are not found on the current phone system
Approach for Accomplishment	Replace the current phone system as possible
Time Frame	Jul 2010
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$10,000
Source/Type/Use of Funding	State/One time/External Staff

Technical Services Group

Seniors' Health Insurance Information Program (SHIIP)

Name/Title	Database Upgrade Project
Summary Description	The current SHIIP database, which is in Access, has outgrown the application and needs to be transferred to a larger system. The current database contractor who provides support for the database is in agreement with this conclusion. The maintenance and support of the SHIIP Database is provided by a private contractor and costs are approximately $10,000 per year. SHIIP receives federal funding and is required to capture specific data that is reported to the Centers for Medicare and Medicaid Services. There are often times changes to the reporting requirements that require changes or alterations to the database. SHIIP has used the federal funding to pay for the contractor but will be restricted from paying for database maintenance after FY 2009. At this time state funds will be used for any maintenance or support.
Major Objectives	The objective of this initiative is to transfer all SHIIP files currently in Access to a more robust system that can grow and be upgraded as needed. The DOI/ IT staff will be responsible for this action. This will result in a system that can handle the volume of data as well as a system that can be supported by DOI. In addition the project should include ability for data to be entered into the database from the field with the appropriate security in place.
Approach for Accomplishment	The timeframe needed is as soon as possible. The Access database continues to grow and we do not anticipate any changes other than an increase in size and Access was not designed to handle current capacity.
Time Frame	Mar 2010 – Dec 2010
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$215,000
Source/Type/Use of Funding	State/One time/Internal Staff/software/hardware

Health Care Review (HCR)

Name/Title	Streamline the Communications Process with IRO's and insurance companies
Summary Description	Currently HCR must communicate IRO's and insurance companies via FAX, manual email and courier service as required. This is a slow and process that would be better if it could be integrated with the application and utilize a secure transmission for the exchange of documentation.
Major Objectives	Extend the Healthcare Review Program to notify insurance companies and independent review organizations via email that documents are available to be viewed through OTIS/web-based platform, similar to that that is used by the Consumer Module of the OTIS enterprise.
Approach for Accomplishment	Enhance the OTIS Enterprise functionality to allow for automated email generation with letter generation for notification
Time Frame	Jun 2012 – Jul 2012
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$30,000
Source/Type/Use of Funding	State/One time/Internal staff

Market Regulation (MRD)

Name/Title	Develop an integrated system that has the capability to grow beyond the limitations of the current Access System
Summary Description	Currently MKE uses both the COTS TeamMate package and has a home built Access system. Growth in this area dictates that MKE seek a new, more robust system in the near future for capturing examination data, annual filing PPO data.
Major Objectives	Rapid growth dictates that this system will soon need to be migrated to a more robust platform that can grow and expand as needs change. It will need to incorporate the functionality of the COTS TeamMate package while provide the management of examination data and annual filing PPO data. The system would have self-reporting mechanism for insurers to enter data
Approach for Accomplishment	Develop a new system with internal staff to provide on-going maintenance and to manage future enhancements
Time Frame	Jan 2012 – May 2012
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$210,000
Source/Type/Use of Funding	State/One time/Internal staff; hardware/software licensing

Property & Casualty (P&C)

Name/Title	Expansion of the OTIS Enterprise Functionality
Summary Description	(1)Currently all filings are public. There is a requirement for a non public tab for trade secret filings not made available via the NCDOI web Portal public access Search. (2)Company Searches need to be extended, i.e. Charitable Gift Annuity (3)Create a new feature to handle different company license types
Major Objectives	Extend the functionality of the OTIS enterprise to provide the added functionality as requested.
Approach for Accomplishment	To be accomplished by internal staff.
Time Frame	Jan 2010 – Feb 2010
Relationship with other agency initiatives	None
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$40,000
Source/Type/Use of Funding	State/One time/Internal staff

Life & Health (L&H) – Property & Casualty (P&C)

Name/Title	Expansion of SERFF as the Primary Review Tool for Form Filings
Summary Description	Enable SERFF as the L&H and P&C form and rate filing review tool and work environment In a Portal Environment. Modify OTIS to manage confidential, trade secret and no-public information.
Major Objectives	Modify the API between SERFF and OTIS to initially download each individual component listed on the SERFF Form Schedule to the OTIS Attachment Tab at the time of initial filing rather than a consolidated PDF of the whole filing.
	Modify Public access of non-trade secret form and rate filing information – Revise and create more robust search features from the NCDOI Web Portal for SERFF filings by SERFF file number, company name, company FEIN, or company NAIC number with ability to filter based upon filing status. Include a company name drop down selection box for company name selection.
	Create and Modify OTIS – with the ability to store and display internally the confidential or trade secret material reflected in the SERFF filing. This feature must be available for display to DOI internal but not to the public.
	Modify the API between SERFF and OTIS to reflect status changes made in SERFF reflective in OTIS. (opposite to what is currently done)
	Modify the API to download to OTIS a consolidated PDF of only the PUBLIC information in the filing upon SERFF approval.
	Modify the API to download from SERFF to OTIS a consolidated PDF of SERFF confidential or trade secret items to an OTIS confidential only file upon SERFF approval.
Approach for Accomplishment	To be accomplished by internal IT staff with coordination with NAIC SERFF IT staff
Time Frame	Nov 2008 - Dec 2008
Relationship with other agency initiatives	Migration of Non-SERFF Filings to SERFF Project
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$5,120
Source/Type/Use of Funding	State/One time/Internal staff

Life & Health (L&H) Property & Casualty (P&C)

Name/Title	Migration of Non-SERFF Filings to SERFF Project
Summary Description	Move all existing form and rate filings currently housed in OTIS to SERFF
Major Objectives	One collection point for form and rate filings is desirable to gain efficiencies in storage and location of filings once the expansion of the SERFF as the Primary Review Tool as been implemented
Approach for Accomplishment	Close coordination between DOI Life and Health, Property and Casualty, Information Systems and NAIC SERFF managers and technicians
Time Frame	Dec 2008 - Jan 2009
Relationship with other agency initiatives	Expansion of SERFF as the Primary Review Tool for Form Filings Project
Relationship with statewide initiatives	None
Order of Magnitude - Costs	$6,400
Source/Type/Use of Funding	State/One time/Internal Staff

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